



Atty Docket No. 5598/68



IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

In re Application of : Gary W. Flake et al.
Application No. : 10/625,001 Examiner: To be Assigned
Filed : July 22, 2003 Group Art Unit: 3626
Title : TERM-BASED CONCEPT INSTRUMENTS

Commissioner for Patents
P.O. Box 1450
Alexandria, VA 22213-1450

INFORMATION DISCLOSURE STATEMENT

SIR:

Applicants respectfully submit herewith an Information Disclosure Statement (IDS) and an Information Disclosure Citation List, pursuant to 37 C.F.R. §§ 1.97 and 1.98. The Examiner is requested to consider the enclosed documents, make them of record, and indicate his or her consideration of the documents by initialing the enclosed Citation List adjacent the citation of each document. Please return a copy of the initialed Citation form to the applicant's undersigned Attorney.

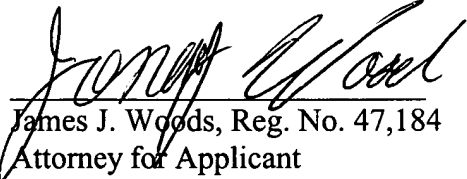
In accordance with the rules, since this application was filed after June 30, 2003, copies of cited U.S. patents are not required, and are therefore not included.

This IDS is being filed before the mailing date of a first office action on the merits and thus

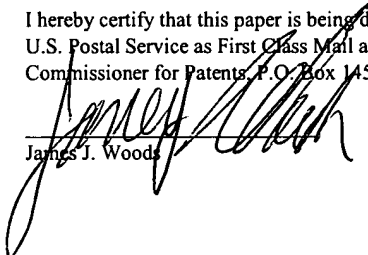
no fee is due. In the event that a fee is determined to be due, the Commissioner is hereby authorized to charge such fee to Deposit Account No. 02-4270.

Respectfully submitted,

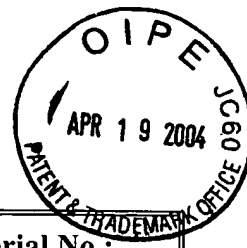
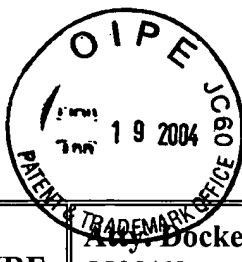
Dated: 4/19/08


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I hereby certify that this paper is being deposited this date with the
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James J. Woods

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INFORMATION DISCLOSURE CITATION LIST	App. Docket No.: 5598/68	Application Serial No.: 10/625,001
	Applicants: Gary W. Flake et al.	
	Filing Date: July 22, 2003	Group Art Unit: 3626

U.S. PATENT DOCUMENTS

Exam. Init	Document Number	Date	Name	Class	Subclass
	6,505,174	1/7/03	Keiser et al.		
	6,418,417	7/9/02	Corby et al.		
	6,390,472	5/21/02	Vinarsky		
	6,038,554	3/14/00	Vig		
	5,940,810	8/17/99	Traub et al.		
	5,924,082	7/13/99	Silverman et al.		
	5,915,209	6/22/99	Lawrence		
	5,905,974	5/18/99	Fraser et al.		
	5,873,071	2/16/99	Ferstenberg et al.		
	5,819,238	10/6/98	Fernholz		
	5,819,237	10/6/98	Garman		
	5,809,483	9/15/98	Broka et al.		
	5,774,880	6/30/98	Ginsberg		
	5,724,524	3/3/98	Hunt et al.		
	5,497,317	3/5/96	Hawkins et al.		
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	5,454,104	9/26/95	Steidlmayer et al.		
	5,313,560	5/17/94	Maruoka et al.		
	5,101,353	3/31/92	Lupien et al.		
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	4,774,663	9/27/88	Musmanno et al.		
	3,581,072	5/25/71	Nymeyer		

OTHER DOCUMENTS (including Author, Title, Date, Pertinent Pages, etc.)

		Center for eBusiness@MIT, http://ebusiness.mit.edu , Experimental Markets for Product Concepts, Paper 149, Nicholas T. Chan, Ely Dahan, Andrew W. Lo, Tomaso Poggio, July 2001, pgs. 36
		Center for eBusiness@MIT, http://ebusiness.mit.edu , Securities Trading of Concepts (STOC), Paper 172, Nicholas Chan, Ely Dahan, Adlar Kim, Andrew Lo, Tomaso Poggio, December 2002, pgs. 37
Examiner:		Date Considered: